



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Toyoji GUSHIMA et al.

Attn: BOX PCT

Serial No. 09/806,329

Docket No. 2001\_0358A

Filed March 29, 2001

INFORMATION RECORDING/REPRODUCING  
APPARATUS AND METHOD USING OPTICAL  
DISK AND INFORMATION RECORDING SYSTEM  
AND INFORMATION RECORDING METHOD  
[Corresponding to PCT/JP00/04960  
Filed July 26, 2000]

**PATENT OFFICE FEE TRANSMITTAL FORM**

Assistant Commissioner for Patents,  
Washington, DC 20231

Sir:

Attached hereto is a check in the amount of \$130.00 to cover Patent Office fees relating to filing the following attached papers:

Late filing of executed Declaration ..... \$130.00

A duplicate copy of this paper is being submitted for use in the Accounting Division, Office of Finance.

*The Commissioner is authorized to charge any deficiency or to credit any overpayment associated with this communication to Deposit Account No. 23-0975, with the EXCEPTION of deficiencies in fees for multiple dependent claims in new applications.*

**THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975**

Respectfully submitted,

Toyoji GUSHIMA et al.

By

Nils E. Pedersen

Registration No. 33,145

Attorney for Applicants

05/11/2001 LLANDGRA 00000030 09806329

01 FC:154

130.00 DP

NEP/jz

WENDEROTH, LIND &amp; PONACK, L.L.P.

2033 K St., N.W., Suite 800

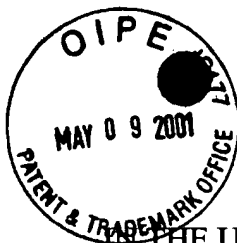
Washington, D.C. 20006-1021

Telephone (202) 721-8200

May 9, 2001

[Check No. 44396]

2001\_0358A



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Toyaji GUSHIMA et al.

Attn: BOX PCT

Serial No. 09/806,329

Docket No. 2001\_0358A

Filed March 29, 2001

INFORMATION RECORDING/  
REPRODUCING APPARATUS AND  
METHOD USING OPTICAL DISK AND  
INFORMATION RECORDING SYSTEM  
AND INFORMATION RECORDING METHOD  
[Corresponding to PCT/JP00/04960  
Filed July 26, 2000]

**REPLY TO NOTIFICATION OF MISSING REQUIREMENTS**  
**UNDER 35 USC 371**

Assistant Commissioner for Patents,  
Washington, DC 20231

Sir:

In response to the PTO Notification of Missing Requirements Under 35 USC 371 dated May 1, 2001, submitted herewith is a Declaration for the above application executed by the inventors.


Also enclosed are the PTO surcharge of \$130.00 required by 37 CFR 1.492(e), and a copy of the PTO notice.

It is respectfully submitted that the application is now complete, and early indication thereof is now requested.

Respectfully submitted,

Toyaji GUSHIMA et al.

By

  
Nils E. Pedersen  
Registration No. 33,145  
Attorney for Applicants

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

NEP/jz  
Washington, D.C. 20006-1021  
Telephone (202) 721-8200  
Facsimile (202) 721-8250  
May 9, 2001



## UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NO.

FIRST NAMED APPLICANT

ATFY. DOCKET NO. 2001-0358A

09/806329

000513

5611

INTERNATIONAL APPLICATION NO.

PCT/JP00704960

WENDEROTH, LIND &amp; PONACK, L.L.P.

2033 K STREET N. W.

SUITE 800

WASHINGTON DC 20006-1021

I.A. FILING DATE

PRIORITY DATE

07/26/00

07/29/99

DATE MAILED:

05/01/01

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

- The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as ☒ a Designated Office (37 CFR 1.494) ☐ an Elected Office (37 CFR 1.495):
  - ☒ U.S. Basic National Fee. ☐ Indication of Small Entity Status.
  - ☒ Copy of the international application. ☒ Translation of the international application into English.
  - ☒ Oath or Declaration of inventors(s). ☐ Translation of Article 19 amendments into English.
  - ☐ Copy of Article 19 amendments. ☐ Other:
  - ☐ Priority Document.
  - ☐ The International Preliminary Examination Report in English and its Annexes, if any.
  - ☐ Translation of Annexes to the International Preliminary Examination Report into English.
- ☒ Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.
  - ☐ U.S. Basic National Fee.
  - ☐ Copy of the international application.
- The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:
  - ☐ a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
  - ☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
  - ☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
  - ☒ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
  - ☒ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
  - ☒ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).
- Additional claim fees of \$\_\_\_\_\_ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.
- ☐ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.

**ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

- If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.
- ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

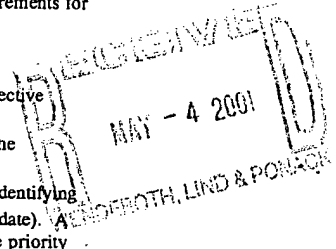
**A copy of this notice MUST be returned with this response.**

- Enclosed: ☒ PCT/DO/EO/917 ☐ Notice of Defective Translation  
☐ PTO-875 ☐ PCT/DO/EO/920

Lamont Hunter, Paralegal

Telephone: 703 305-3686

FORM PCT/DO/EO/905 (March 2001)





## UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NO.

FIRST NAMED APPLICANT

ATTY. DOCKET NO.

**09/806329**

09/806,329

GUSHIMA

INTERNATIONAL APPLICATION NO.

2001-0358A

000513

5611

WENDEROTH, LIND &amp; PONACK, L.L.P.

2033 K STREET N. W.

SUITE 800

WASHINGTON DC 20006-1021

I.A. FILING DATE PCT/PRIORITY DATE 09/01/00

DATE MAILED 07/26/00

07/29/99

05/01/01

**NOTIFICATION OF A DEFECTIVE OATH OR DECLARATION**

This application fails to contain an oath or declaration acceptable under 35 U.S.C. 371(c)(4) for entry into the national stage in the United States of America. The period within which to correct the deficiency noted below and avoid abandonment is set in the accompanying Notification.

A new oath or declaration, properly identifying this application (preferably by the international application number and international filing date) is required. The oath or declaration does not comply with 37 CFR 1.497(a),(b) and (f) in that it:

1. ☒ is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.
2. ☐ does not identify the application to which it is directed.
3. ☐ does not identify the inventor(s).
4. ☐ does not identify the citizenship of each inventor.
5. ☐ does not state that the person making the oath or declaration believes the named inventor or inventors to be the original and first inventor or inventors of the subject matter which is claimed and for which a patent is sought.

**FAILURE TO SUBMIT AN OATH OR DECLARATION IN COMPLIANCE WITH 37 CFR 1.497(a) AND (b), AND 1.497(d) WHERE APPROPRIATE, WITHIN THE TIME PERIOD SET WILL RESULT IN FAILURE TO ENTER THE NATIONAL STAGE AND THE ABANDONMENT OF THE APPLICATION.**

Additionally, the oath or declaration does not comply with 37 CFR 1.63 in that it:

1. ☐ does not identify the mailing address of each inventor. If the residence is different from the mailing address, then the city and state or city and foreign country of residence of each inventor must also be given.
2. ☐ does not state that the person making the oath or declaration:
  - a. ☐ has reviewed and understands the contents of the application, including the claims, as amended by any amendment specifically referred to in the oath or declaration.
  - b. ☐ acknowledges the duty to disclose to the Office all information known to the person to be material to patentability as defined in 37 CFR 1.56.
3. ☐ does not identify the foreign application for patent or inventor's certificate for which a claim for priority is made pursuant to 37 CFR 1.55, and any foreign application having a filing date before that of the application on which priority is claimed, by specifying the application serial number, country, day, month, and year of its filing.

Lamont Hunter, Paralegal

Telephone: 703 305-3686